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Inter-organizational security measures: framework for accountability for the United Nations field security management system

Report of the Secretary-General**

Summary

In section VIII of its resolution 56/255, of 24 December 2001, the General Assembly noted with concern the lack of an accountability and responsibility mechanism in the area of field security and requested the Secretary-General to submit, to its fifty-seventh session, a comprehensive report on the establishment of a clear mechanism of accountability and responsibility, including such provisions as its scope, depth and common standards and methods of enforcing them, in an inter-agency structure.

The present report outlines a framework for accountability for the United Nations field security management system, which was elaborated and agreed upon on an inter-agency basis by all the organizations of the United Nations system.

* A/57/150.

** The preparation of the present report was delayed to allow for the completion of inter-agency consultations on the issue.

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I. Introduction

1. In section VIII of its resolution 56/255, the General Assembly noted with concern the lack of an accountability and responsibility mechanism in the area of field security and requested the Secretary-General to submit, to its fifty-seventh session, a comprehensive report on the establishment of a clear mechanism of accountability and responsibility, including such provisions as its scope, depth and common standards and methods of enforcing them, in an inter-agency structure.

2. The present report was prepared in full consultation with the specialized agencies, programmes and funds of the United Nations system (hereinafter referred to as the agencies) during meetings of the Inter-Agency Security Management Network, and was approved by the High-Level Committee on Management on behalf of the United Nations System Chief Executives Board for Coordination. In preparing the report, agencies took into full account the Secretary-General's report on accountability to the General Assembly (A/55/270).[1]

II. Mission statement

3. The goal of the United Nations security management system is to enable the effective and efficient conduct of United Nations activities while ensuring the security and safety of staff as a high priority.

III. Identification of actors within the United Nations security management system and their responsibilities

A. Headquarters locations

1. Executive heads of United Nations agencies, programmes and funds

4. Responsibility for the management of the United Nations security management system rests with the Secretary-General, in his/her capacity as Chairman of the United Nations System Chief Executives Board for Coordination. Executive heads of United Nations agencies, programmes and funds will be responsible and accountable to the Secretary-General. The executive heads will:

(a) Assume their responsibilities for the safety and security of all personnel working for them;

(b) Ensure that provisions are made for the implementation of the United Nations security management system;

(c) Be responsible for resource allocation and the prioritization of security;

(d) Have an obligation to advocate in all available forums to ensure that Member States provide for the safety and security of all personnel employed by organizations of the United Nations system and their eligible dependants and that crimes against such personnel will not be tolerated and the perpetrators brought to justice;

(e) Support the United Nations security management system;

(f) Have a collective responsibility to work together to implement the United Nations security management system and to support the Secretary-General in ensuring that the legislative mandates given to him by the General Assembly are discharged;

(g) Ensure that all managers working for them not only support the Secretary-General but also discharge their responsibilities in ensuring compliance with the United Nations security management system;

(h) Have a "duty of care" to ensure that personnel employed by organizations of the United Nations system and their eligible dependants are not exposed to exceptional risk;

(i) Liaise closely with the United Nations Security Coordinator to ensure a coherent system-wide approach to security.

5. The executive heads have formalized the governance of security management for the United Nations system as a whole, as follows:

(a) A comprehensive review of policies and resource-related issues pertaining to the entire United Nations security management system should be a standing item on the agenda of the High-Level Committee on Management. The United Nations Security Coordinator or his/her designated representative should participate in such discussions;

(b) The High-Level Committee on Management will be supported by the Inter-Agency Security Management Network, consisting of the senior managers who have oversight of the security functions within their agency;

(c) The Inter-Agency Security Management Network, which will be chaired by the United Nations Security Coordinator, will meet at least once a year to review all existing and proposed policies, procedures and practices of the United Nations security management system and report and make recommendations on these to the High-Level Committee on Management;

(d) Between annual meetings, the United Nations Security Coordinator may convene working group meetings among interested organizations to discuss specific security issues. The reports of the working groups will be provided to the Inter-Agency Security Management Network for review and endorsement;

(e) The Inter-Agency Security Management Network will monitor the implementation of United Nations security management policies, practices and procedures by all actors of the United Nations system, including the budget, and report and make recommendations thereon to the High-Level Committee on Management;

(f) The High-Level Committee on Management will review the recommendations made by the Inter-Agency Security Management Network and either decide on them or recommend to the United Nations System Chief Executives Board for Coordination how they should be implemented.

2. The United Nations Security Coordinator and his/her Office

6. The responsibilities of the United Nations Security Coordinator, who is accountable to the Secretary-General, and of his/her Office will be outlined in a forthcoming bulletin of the Secretary-General, which will define the functions, structure and organization of the Office, the responsibilities of the Head of the Office and the functions and responsibilities of line managers and subsidiary units, as well as the lines of accountability of the United Nations Security Coordinator and each senior staff member.

3. Senior security manager and/or headquarters security focal point

7. Within each agency, one individual is appointed as the senior security manager and/or headquarters security focal point, with oversight of the security functions. This individual, who is accountable to his/her respective executive head, is critical to ensure good coordination between the headquarters/field offices of the agency and Office of the United Nations Security Coordinator (UNSECOORD) and has the following responsibilities:

(a) Advising the executive head on security matters and keeping him/her updated on security management issues;

(b) Ensuring that country representatives of the agency participate fully on the security management team, as applicable;

(c) Working in close association with UNSECOORD and other members of the Inter-Agency Security Management Network and supporting the United Nations Security Coordinator in the discharge of his/her responsibilities;

(d) Providing assistance to field representatives for implementation of Minimum Operating Security Standards (MOSS), including Minimum Telecommunication Standards (MITS) (the telecommunications component of MOSS), as applicable;

(e) Assisting/supporting in the mobilization of resources to assist field offices in implementation of security requirements;

(f) Serving as a member of the Inter-Agency Security Management Network;

(g) Ensuring that all persons employed by organizations of the United Nations system and eligible dependants of the agency are provided with security training and briefings;

(h) Disseminating information and education regarding security matters;

(i) Ensuring that policies and procedures with respect to security clearances are complied with.

B. Field locations

1. Designated officials

8. In each country where the United Nations is present, one official is appointed as the designated official for security. Designated officials are normally United Nations resident coordinators. Special Representatives of the Secretary-General, Executive Secretaries of the Regional Commissions or country representatives of United Nations agencies, programmes and funds may also be appointed as designated officials, depending on the particular circumstances at the duty station. This individual is accountable to the Secretary-General through the United Nations Security Coordinator. The responsibilities of the designated official are as follows:

(a) Ensuring the observance of the arrangements detailed in the United Nations Field Security Handbook and developing and implementing the security plan for the duty station with the aim of maintaining the security and safety of United Nations system personnel and operations. The plan will include the identification and investigation of a number of feasible options for the safe movement of all the personnel employed by organizations of the United Nations system and their eligible dependants within the country, or to a designated country of relocation, should relocation or evacuation become necessary;

(b) Recommending to UNSECOORD a suitable nomination to act as designated official ad interim. Such appointees normally will be the head of an agency, programme or fund;

(c) Keeping the Secretary-General informed, through the United Nations Security Coordinator, of all developments in the country that might have a bearing on the security and protection of the personnel employed by organizations of the United Nations system and their eligible dependants and their property, or that of the organizations. In the event that operational matters affect security or inter-agency security issues, this information must be communicated to the United Nations Security Coordinator;

(d) Implementing any arrangements decided by the Secretary-General in support of the host Government's measures for the security and protection of personnel employed by the organizations of the United Nations system, their eligible dependants and their property and of the organizations' property; maintaining liaison with the Government of the host country on matters concerning the security and protection of these individuals;

(e) Ensuring the regular functioning of the security management team and identifying staff members who will have special responsibilities in this regard;

(f) Ensuring that there is a fully integrated functioning and operational communications system for security management;

(g) Developing and implementing, together with the security management team, Minimum Operating Security Standards (MOSS), which include Minimum Telecommunication Standards (MITS), for all United Nations operations throughout the country;

(h) Appointing, together with the security management team, area coordinators and wardens and verifying that the team has adequately trained and equipped them; providing their parent agency with input for the individual's performance appraisal;

(i) Ensuring that all persons employed by organizations of the United Nations system are appropriately equipped with required safety and security equipment as specified in the MOSS and trained in its use;

(j) Keeping the members of the security management team as well as the senior officials of each agency at the duty station (as applicable) fully apprised of all security-related information and measures being taken in the country;

(k) Establishing a briefing system that will ensure that all personnel employed by organizations of the United Nations system and their eligible dependants are advised of specific precautionary measures that they should take in relation to the security plan, and ensuring that all such personnel receive adequate and appropriate security training;

(l) Including staff members and the eligible dependants of intergovernmental and non-governmental organizations that have signed the memorandum of understanding in security arrangements at the duty station;

(m) Ensuring collaboration on security with intergovernmental and non-governmental organizations

working as operational partners of the United Nations in accordance with established guidelines;

(n) Submitting all required reports to UNSECOORD, as outlined in the United Nations Field Security Handbook;

(o) Ensuring that the special arrangements, agreed on an inter-agency basis to be implemented when internationally recruited personnel are evacuated, are in place for locally recruited personnel to include options for relocation within the country, as required;

(p) In an emergency where it has not been possible to communicate with the Secretary-General, the designated official is authorized to use his/her best judgement in carrying out relocations/evacuations and reporting to the Secretary-General through UNSECOORD immediately thereafter.

2. Field security coordination officers

9. Field security coordination officers are security professionals appointed to advise the designated official and the security management team in their security functions. The officers are hired based on agreed inter-agency criteria. Field security coordination officers are accountable to the United Nations Security Coordinator. They report concurrently to UNSECOORD and to the designated official, who is responsible for the day-to-day management of the officers. In the absence of a professional field security coordination officer, the designated official shall appoint a country security focal point for the security management team to ensure that the functions outlined below are implemented. Some field security coordination officers have regional responsibilities covering more than one duty station. They shall be called regional field security coordination officers and they will be responsible for ensuring that the functions outlined below are implemented in each of the countries for which they are responsible. Some duty stations may have more than one field security coordination officer assigned. They shall be nominated as deputy field security coordination officers or assistant field security coordination officers and will work under the supervision of and be accountable to the field security coordination officers.

10. All field security coordination officers are responsible for:

(a) All aspects of security management, crisis readiness and preparedness at their respective duty stations;

(b) Serving as principal adviser to the designated official and the security management team in the execution of responsibilities with regard to the security of personnel employed by organizations of the United Nations system and their eligible dependants and property;

(c) Cooperating closely on security matters with all other offices of the United Nations system at the duty station to ensure the best possible coordination;

(d) Establishing and chairing a security coordination cell for duty stations where there are also single-agency security officers in order to ensure that all security officers at a duty station are working together to further inter-agency security coordination;

(e) Preparing, maintaining and updating the country-specific security plan, contingency plans and security listings of personnel employed by organizations of the United Nations system and their eligible dependants;

(f) Undertaking risk/threat assessments for all locations at the duty station where personnel employed by organizations of the United Nations system and their eligible dependants are present;

(g) Developing good contacts with national law enforcement agencies, with a view to obtaining the best possible protection for personnel employed by organizations of the United Nations system and their eligible dependants and their property;

(h) Ensuring that all security and communications equipment is in good repair;

(i) Ensuring that all personnel employed by organizations of the United Nations system and their eligible dependants receive local security training as necessitated by changes in the security environment;

(j) Ensuring that personnel employed by organizations of the United Nations system and their eligible dependants are kept informed of matters affecting their security and making appropriate arrangements for briefing newly arrived United Nations staff;

(k) Maintaining up-to-date, detailed instructions for personnel employed by organizations of the United Nations system and their eligible dependants on precautions they should take in relation to the implementation of the security plan, including a comprehensive listing of emergency supplies they should have on hand and guidance on the behaviour during a variety of emergencies, including natural disasters and political crises;

(l) Ensuring that plans for relocation/evacuation to a safe area are current, feasible and implementable;

(m) Reporting all cases in which personnel employed by organizations of the United Nations system and/or their eligible dependants have been victims of crime and submitting required reports on such cases;

(n) Conducting security surveys of residential areas and premises;

(o) Ensuring that the appropriate level of confidentiality is maintained with regard to security matters;

(p) Serving as a member of the security management team at the country level;

(q) Advising the designated official and the security management team on operational security requirements consistent with the MOSS.

3. Field security coordination assistants

11. Field security coordination assistants are locally recruited staff members who work under the supervision of and are accountable to the field security coordination officer. Field security coordination assistants are responsible for assisting the field security coordination officer and the designated official as follows:

(a) Liaising and coordinating with local government security organizations;

(b) Maintaining the security plan, including updating staff lists;

(c) Maintaining minimum operations security standards for equipment;

(d) Maintaining office security;

(e) Any other matters, as requested by the field security coordination officer or designated official.

4. Single-agency security officers

12. Single-agency security officers are security professionals hired by single United Nations agencies (Office of the United Nations High Commissioner for Refugees (UNHCR), United Nations Children's Fund (UNICEF), United Nations Development Programme (UNDP), World Health Organization (WHO) and the Office of the United Nations High Commissioner for Human Rights (OHCHR)) to advise country representatives regarding issues specific to the operations of that agency at the duty station. All security officers, irrespective of their funding agency, will work in direct support of the designated official as the sole authority for safety and security of personnel employed by the organizations of the United Nations system and their eligible dependants within the country. Single-agency security officers operate within the overall United Nations security framework and coordinate directly with the field security coordination officers and, through their head of agency, with the designated official and the security management team. They are thus accountable to the designated officials and the United Nations Security Coordinator as well as to their country representative. Single-agency security officers will be: recruited based on the standardized, agreed criteria for all security officers; cleared by UNSECOORD; and attend training provided for field security coordination officers by UNSECOORD.

13. A single-agency security officer, in addition to his/her agency-specific responsibilities, is responsible for:

(a) Advising and assisting the agency country representative on his/her security responsibilities;

(b) Advising and assisting the area security coordinator or designated official in the discharge of his/her responsibilities, when requested to do so;

(c) Participating as a member of the security cell established by the field security coordination officer;

(d) Ensuring that personnel are trained and briefed on security matters within existing security policy and procedures;

(e) Ensuring that security procedures and policies are adhered to at all times;

(f) Reviewing the residential security measures in place for all international personnel of the agency;

(g) Acting as the field security coordination officer, if requested to do so by the designated official;

(h) Reporting all security incidents to the designated official.

5. Representatives of agencies, programmes and funds participating in the United Nations security management system

14. Representatives of agencies (the "country representative" or "agency head" of a United Nations agency, programme or fund) participating in the United Nations security management system are accountable to the Secretary-General through their executive heads, under the overall guidance of the United Nations Security Coordinator, for all matters related to the security of their personnel at the duty station.

15. Representatives of agencies participating in the United Nations security management system shall be responsible for:

(a) Serving as members of the security management team;

(b) Being responsible for the safety and security of personnel employed by their organizations at the duty station and their eligible dependants and for the implementation of the security plan;

(c) Ensuring that safety and security is a core component of all programmes at the duty station and that appropriate funding is provided based on need;

(d) Consulting with and assisting the designated official on all matters concerning security and the implementation and maintenance of both the security plan and MOSS and for compliance with both;

(e) Ensuring full and complete compliance by his/her personnel and eligible dependants with all security-related instructions;

(f) Ensuring that all his/her personnel attend appropriate security awareness training and briefing;

(g) Personally attending all training programmes;

(h) Ensuring that personnel have adequate and operating communications equipment in line with MOSS;

(i) Ensuring that the designated official is provided on a regular basis with updated lists of all personnel employed by the agency and their eligible dependants in the area;

(j) Ensuring that the designated official is at all times informed of the whereabouts and movements of the agency's personnel and eligible dependants in the area in accordance with procedures established at the duty station;

(k) Reporting to the designated official all security-related incidents;

(l) Ensuring that movement of all personnel is undertaken in accordance with United Nations rules and procedures;

(m) For internationally recruited personnel employed by the agency who are nationals of the country serving elsewhere or who have been assigned to a nearby non-family duty station and who have left their dependants in the country, ensuring that such dependants are included in security arrangements;

(n) Ensuring that arrangements are in place for intergovernmental/non-governmental organizations working as operational partners with United Nations agencies.

6. Security management team

16. The security management team shall consist of the country representatives of each United Nations agency, programme and fund present at the duty station who advise the designated official on all security-related matters. Members of the team are accountable to their executive heads for the discharge of the mandate of their respective agencies. In addition, members of the security management team have a collective responsibility to support the designated official in the discharge of his/her mandate related to the safety and security of all staff, irrespective of the agency. Under the overall authority of the Secretary-General, through the United Nations Security Coordinator and the designated official at the duty station, the security management team has a collective responsibility for:

(a) Working in close collaboration with the designated official;

(b) Meeting on a regular basis to review the prevailing situation and to ensure that security is being managed effectively at the duty station;

(c) Ensuring that there is a functioning and effective security plan that is maintained and implemented for each location in the country where personnel employed by organizations of the United Nations system and their eligible dependants are present;

(d) Ensuring that lists of personnel and their eligible dependants are up-to-date;

(e) Ensuring that each area security coordinator and warden is trained and equipped to carry out his/her functions and to ensure that they understand fully and implement the complete range of these responsibilities;

(f) Establishing MOSS at the duty station, monitoring its implementation and ensuring compliance by all personnel employed by organizations of the United Nations system and their eligible dependants;

(g) Ensuring that resources are available to implement all measures that are approved;

(h) Providing input to the performance appraisal of all security officers employed in the country by the United Nations system, where they have staff operating.

7. Area security coordinators

17. Area coordinators are staff members appointed by the designated official and the security management team in areas of larger countries that are separated from the capital in terms of both distance and exposure in order to coordinate and control security arrangements in their area of responsibility. Area coordinators are appointed in writing by the designated official, in consultation with the security management team. Area coordinators are accountable to the designated official for their security-related functions, irrespective of their employing agency. The performance of the area security coordinator shall be reflected in the individual's performance appraisal. Duty time required to carry out area security coordinator responsibilities will be provided by the employing agency as determined at the field level by the designated official and the security management team.

18. Area coordinators are responsible for:

(a) Acting on behalf of the designated official, from whom they have delegated responsibility, to coordinate and control the security arrangements for sub-office operations outside the capital;

(b) Appointing wardens for their area of responsibility;

(c) Developing area-specific security plans;

(d) Maintaining lists of personnel employed by organizations of the United Nations system and their eligible dependants at their location;

(e) Implementing MOSS;

(f) Keeping the designated official systematically informed regarding incidents or developments in their area of responsibility that have a bearing on the security and safety of personnel employed by organizations of the United Nations system and their eligible dependants.

8. Wardens

19. Wardens are appointed by the designated official and the security management team to ensure proper implementation of the security plan in a predetermined zone of a large city. Wardens are appointed, in writing, by the designated official in consultation with the security management team. Wardens are accountable to the designated official for their security-related functions, irrespective of their employing agency. Duty time required to carry out warden responsibilities will be provided by the employing agency as determined at the field level by the designated official and the security management team. The performance of the warden should be reflected in the individual's performance appraisal.

20. Wardens are responsible for:

(a) Functioning as a channel of communication between the designated official and personnel employed by organizations of the United Nations system and their eligible dependants in his/her zone;

(b) Ensuring that such personnel are regularly informed with regard to security arrangements and the emergency phases in effect;

(c) Ensuring that instructions on precautionary measures are being followed;

(d) Ensuring that one person is designated to maintain contact with United Nations visitors residing temporarily at residences or hotels within the warden's zone;

(e) Carrying out other security-related duties as assigned by the designated official or the field security coordination officer;

(f) For internationally recruited staff who are nationals of the country serving elsewhere or who have been assigned to a nearby non-family duty station and who have left their dependants at the duty station, ensuring that such dependants are included in security arrangements;

(g) Visiting every family living in their area to ensure that they are aware of security arrangements.

9. Persons employed by organizations of the United Nations system and their eligible dependants

21. All personnel employed by the organizations of the United Nations system are responsible for their own safety and security, irrespective of their location of assignment. Persons employed by organizations of the United Nations system are accountable to their country head of agency and executive head of agency.

22. Personnel employed by organizations of the United Nations shall be responsible for the following:

(a) Familiarizing themselves with information provided to them regarding the United Nations security management system at their location;

(b) Receiving security clearance prior to travelling;

(c) Attending security briefings and signing a document certifying that they have been briefed;

(d) Knowing who their warden and/or agency security focal point is;

(e) Being appropriately equipped for service at the duty station;

(f) Applying and complying with all security regulations and procedures at the duty station, whether on or off duty;

(g) Comporting themselves in a manner which will not endanger their safety and security or that of others.

IV. Mechanisms to implement accountability

23. In order to enforce and monitor accountability of the performance of responsibilities related to the United Nations field security management system, a number of mechanisms have been established and must be implemented. While the security policy of the United Nations system continues to be promulgated in the United Nations *Field Security Handbook*, in order to ensure accountability, all agencies will develop an organizational policy statement incorporating the principles of accountability and outlining the roles and responsibilities of each individual in the security management system adapted to the specific organizational structure of the agency (see annex). This will decrease the potential for varying interpretations and applications of security measures, which can lead to errors, and also provide a more effective basis for accountability within each organization.

A. Selection of individuals who will be given security responsibilities

24. It is critical that each individual who is given responsibilities in the security management system at the field level have identified core competencies. All agencies will be guided by the following competency requirements for the security functions at the different levels:

(a) The core competencies of designated officials shall be: integrity, accountability, judgement and decision-making, communications, planning and organizing, team-building, strategic vision, managing sensitive issues, managing decisions, delegating, leadership, empowering others, building trust and managing performance;

(b) Agency representatives at the country level shall have core competencies similar to those identified for designated officials;

(c) The core competencies of field security coordination officers and single agency security officers shall be: integrity, accountability, strategic vision, analytical thinking, leadership, empowering others, building trust, sensitivity, communications, teamwork, planning and organizing, creativity, social awareness and interpersonal skills;

(d) The core competencies of area coordinators and wardens shall be: integrity, accountability, leadership, managing sensitive issues, organizing, team-building, communications, planning, interpersonal skills.

B. Self-learning by/training of all individuals who have security responsibilities

25. Security and stress management training provided by UNSECOORD and individual agencies is mandatory for all personnel employed by the organizations of the United Nations system. In addition, specialized security management training is mandatory for all managers and field security coordination officers. This training can be accomplished by various methods. It is recognized that there are different levels of security training required by different categories of staff, based on their functions, as outlined below.

26. The contents of all security-related training and training materials shall be standardized by UNSECOORD to ensure a consistent security message is provided to all personnel. Agencies must ensure that such standardization is respected. All agencies must include security as part of their induction training for new personnel. In addition, security training/briefing at the field level is an essential component of field operations.

27. Each organization shall ensure that certification is provided to all individuals who participate in the security training and a security training record established. Heads of agencies at the duty station must ensure that all personnel employed by organizations of the United Nations system are so certified.

1. Senior security manager and/or headquarters security focal points

28. Security management training is essential for those senior security managers and/or headquarters security focal points who assume such responsibilities. UNSECOORD will provide security and stress management training and refresher training for all senior security managers and/or headquarters security focal points. Agencies will be responsible for ensuring that their respective senior security manager and/or headquarters security focal point receives such training and will also be responsible for ensuring that relevant competencies identified above are reinfo through such training.

2. Designated officials and members of the security management team

29. Security and stress management training mandatory for all designated officials and member the security management team. Individuals who selected to serve as designated officials or as mem of the security management team must receive secu management training at the first available opportu While each agency is responsible for provi appropriate security training to its senior manag UNSECOORD will continue to provide this spe training to designated officials and secu management teams at field locations.

3. Field security coordination officers and agen specific security officers

30. Field security coordination officers shall provided with induction orientation by UNSECO prior to assuming their responsibilities at the station. Field security coordination officers shall be provided with periodic training to keep them up date with regard to new developments in the fiel security management. UNSECOORD will inc agency specific security officers in its induc orientation, upon request, and will routinely inc them in all periodic and specialized training, appropriate. To ensure duty stations can a compliance with their respective MOSS, field secu coordination officers will be required to con security training of staff at each duty station.

4. Area security coordinators and wardens

31. Area security coordinators and wardens shal provided with training in how to carry out functions by UNSECOORD. This training shal conducted by field security coordination officers will be augmented by UNSECOORD training missi

5. Personnel of the United Nations system

32. It shall be the responsibility of each agency o United Nations system to ensure that its respec personnel are provided with adequate and approp security awareness and stress management trai This training can be accomplished in a numbe

ways. A "Basic Security Awareness" CD-ROM will be completed and distributed in January 2003. All personnel employed by organizations of the United Nations system will be required to complete the security awareness training on this CD-ROM. Based on their completion of this training, persons employed by organizations of the United Nations system will be required to take a computer-generated test and receive a certificate generated by the computer programme that will be recorded in their personnel file. It will be the responsibility of country representatives to ensure that all persons employed by organizations of the United Nations system and eligible dependants at the duty station are security-certified.

33. Upon arrival at the duty station, all personnel will receive a duty-station specific security briefing by the field security coordination officer and will acknowledge receipt of this briefing in writing. In addition, all personnel employed by organizations of the United Nations system will undergo other country specific security training required in accordance with its MOSS and will receive a certificate of completion.

C. Performance management

34. Performance management is a key component of any system of accountability. It shall be the duty of each agency of the United Nations system to incorporate security responsibilities into the job descriptions of every staff member in the field who has a security mandate. The performance appraisal of each individual shall include an evaluation of how well they are performing these functions.

35. Designated officials shall be required to prepare and submit to UNSECOORD a yearly security management plan identifying goals to be achieved along with measurable performance indicators. The attainment of these goals will be considered by UNSECOORD as part of the review of the person's performance as designated official. In this connection, UNSECOORD shall provide to either the United Nations Development Group Office and the Administrator of UNDP or to the executive head of the individual's parent agency, an assessment of the individual's performance as designated official to be included in the person's overall performance appraisal.

36. For members of the security management teams, the executive heads or their nominees should seek the views of the designated official and UNSECOORD in evaluating the performance of their respective representatives who serve on such teams.

37. For field security coordination officers, performance appraisals shall be undertaken by the designated official in consultation with the security management team; each head of agency at the duty station will be expected to provide a written assessment of the field security coordination officer for inclusion in the performance appraisal.

38. For area coordinator and wardens, the performance appraisal carried out by their parent agency shall include a notation that they served in this capacity, as well as an evaluation of their performance.

D. Inspection and review — lessons learned

39. Monitoring of security management is central to the assessment, prevention and correction of errors or irregularities. UNSECOORD will therefore undertake compliance and inspection missions to verify that all actors of the United Nations system at a particular duty station are carrying out their security-related functions. A checklist, which has been established for every category of staff, will form the basis for review. This checklist will be provided to all designated officials and security management teams so that they have a full understanding of the scope of the inspection.

40. Upon completion of the review, the inspection team will brief the designated official and security management team on its findings and will set a date by which all identified shortcomings must be corrected. The report of the team will also be provided to the senior security manager and/or headquarters security focal point. A return visit to the duty station will be scheduled to confirm that the identified shortcomings have been corrected. In the event they have not, a report will be provided to the executive heads of United Nations agencies, as well as to the High-Level Committee on Management, advising that the duty station is not in compliance with existing United Nations rules and procedures governing field security management.

41. The ability of the agencies to identify and address risk factors and learn from past mistakes is critical to good security management. In this connection, UNSECOORD will undertake an annual review of all

major security incidents to establish lessons learned and to identify both shortcomings and good practices. These will be disseminated to all agency headquarters.

E. Establishment of a system of incentives

42. It is impractical to establish a stand-alone system of incentives that apply only to the field security management system. In addition, due regard must be taken of the different staff rules and regulations, systems of performance appraisal and administration of justice, which differ from agency to agency. Many of the existing staff rules and regulations within the United Nations system already make provision to address these concerns. However, unlike some other parts of the United Nations system, in the field of security compliance, lives of personnel employed by organizations of the United Nations are at stake. In order to be consistent and effective, any system of incentives must be applied and implemented across the board by all United Nations agencies, programmes and funds. Incentives are therefore required to reward good performance and correct non-fulfilment of responsibilities. Minimum standards of professional behaviour that emphasize both individual and agency accountability must be identified.

43. In an effort to keep staff motivated in the area of security compliance, innovative ideas are required, including distinguished service awards, letters of appreciation and certificates to reward good performance.

44. Non-fulfilment of responsibilities must be identified, with a corresponding set of measures to be taken by the agency. Three stages of non-fulfilment of responsibilities have been identified as follows:

(a) Non-fulfilment of responsibilities resulting in negative impact on operations;

(b) Non-fulfilment of responsibilities resulting in loss of or damage to property;

(c) Non-fulfilment of responsibilities resulting in serious injury or loss of life.

45. In the event of a security incident involving serious injury or loss of life, UNSECOORD will undertake an investigation and will provide a copy of its report to the executive head of the relevant agency for appropriate action. It is expected that a report on the actions taken in this regard by the relevant agency will be provided to the High-Level Committee on Management.

V. Conclusions and recommendations

46. **The new mechanism of accountability and responsibility in the area of field security was established shortly after the General Assembly, in section VIII of its resolution 56/255 of 24 December 2001, decided on the new security management system for the United Nations and related personnel operating in the field. The new mechanism designs roles and responsibility at all levels of the security management system and provides for comprehensive monitoring and evaluation of its functioning.**

47. **The Secretary-General is confident that the new mechanism of accountability and responsibility in the area of field security ensures that the United Nations field security management system functions effectively and that staff responsible for the security of United Nations operations and personnel in the field are held accountable for both their actions and inaction.**

48. **The General Assembly may wish to take note of the mechanism of accountability and responsibility in the area of field security that is currently in place.**

Notes

[1] The Department of Peacekeeping Operations has indicated that it would review and incorporate peacekeeping personnel into the framework for accountability following the preparation of a protocol defining the lines of responsibility and accountability between the Department of Peacekeeping Operations and the Office of the United Nations Security Coordinator (UNSECOORD) as they relate to peacekeeping operations.

Annex

Generic security policy statement

I. Introduction

1. This policy is designed to be implemented in parallel with existing United Nations policies, practices and procedures (see also para. 23 of the framework for accountability) contained in the following publications:

(a) United Nations Field Security Handbook, 1 January 1995 (under revision)

(b) Office of the United Nations Security Coordinator (UNSECOORD) security directives

(c) United Nations Security and Operations Manual, 1995

(d) Staff Rules and Regulations of the United Nations, and/or of each individual agency.

2. Additionally reference is also made to a number of other publications/documents:

(a) Security in the Field (UNSECOORD), 1998

(b) United Nations Security Awareness Booklet (UNHCR), 1995

(c) Terms of reference outlining the governance mechanism applied to the United Nations security management system as approved by High-Level Committee on Management at its meeting in September 2001 (see para. 5 of the framework for accountability).

II. General

3. The primary responsibility for the security and protection of personnel employed by organizations of the United Nations system, their eligible dependants and property and of the agency's property, rests with the host government.

4. Responsibility for the management of the United Nations security management system rests with the Secretary-General, as Chairman of the United Nations System Chief Executives Board for Coordination (CEB). Executive heads of United Nations agencies, funds and programmes (hereafter referred to as agencies) will be accountable to the Secretary-General.

5. The Secretary-General and the executive heads will be supported by the United Nations Security Coordinator and his/her office. The identification of all actors within the United Nations security management system, together with their respective roles and responsibilities, will be outlined in an annex to the present document.

6. All United Nations agencies will fully support the United Nations Security Coordinator in the discharge of his/her responsibilities and will actively participate in the development of policies and procedures and their implementation and compliance, as set out in the terms of reference of the United Nations security management system governance mechanism.

7. The term "personnel" refers to both internationally and nationally recruited personnel employed by organizations of the United Nations system, regardless of contractual status. The term "country representative" refers to the head of any United Nations agency, programme or fund in a specific country. All personnel employed by organizations of the United Nations system are expected to adhere to security rules, regulations and procedures. Personnel employed by organizations of the United Nations system who do not comply with these rules, regulations and procedures will be held responsible in accordance with the staff rules and regulations of their respective organization.

III. Organizational

8. As it relates to their agency, executive heads or their deputies have the overall responsibility for the safety and security of their personnel. This responsibility is, however, also shared by all managers at headquarters, regional and country offices, who are accountable for the personnel they supervise.

9. The executive heads and their deputies will appoint a senior security manager and/or headquarters security focal point to assist them in this task. He/she will be responsible for coordinating the agency's day-to-day response to safety and security and providing all the relevant actors with advice, guidance and technical assistance. The senior security manager and/or

headquarters security focal point shall monitor security issues in all locations where personnel operate and ensure that they are provided with the necessary training and equipment. The senior security manager and/or headquarters security focal point shall further encourage compliance, on behalf of the executive head, with regard to all United Nations security policy and procedures, as detailed in the references listed, as well as in regard to any additional individual organizational security directives.

10. In all respects, the organizational senior security manager and/or headquarters security focal point will operate in support of UNSECOORD and within the framework of the United Nations security management system. He/she will also represent the organization at the Inter-Agency Security Management Network within the agreed terms of reference for the governance mechanism.

11. Any personnel employed by the organization who do not comply with security instructions as highlighted above shall be required to explain in writing their non-compliance through the senior security manager and/or headquarters security focal point and their immediate supervisor to the executive head.

12. The senior security manager and/or headquarters security focal point shall ensure that all candidates for employment as professional field security officers within the single-agency are screened and approved for deployment by UNSECOORD in accordance with an inter-agency agreement. The United Nations Security Coordinator shall verify that professional field security staff are trained, updated on United Nations procedures and receive technical guidance in the conduct of their duties.

13. In support of UNSECOORD, senior security managers and/or headquarters security focal points shall review security arrangements for all duty stations and field offices where their agency operates and maintain copies of all relevant instructions, Minimum Operating Security Standards (MOSS) and, if required, country-specific security plans. The field security focal point shall provide advice as appropriate to country representatives and assist the UNSECOORD field security coordination officer, as required.

14. All agency managers, who have responsibility for planning and approving field projects, programmes and missions, will liaise closely with the senior security managers and/or headquarters security focal points and country representatives, ensuring that adequate provisions are made for safety and security arrangements. This should include obtaining the required security clearances before personnel employed by organizations of the United Nations system and eligible dependants commence travel and ensuring that such personnel receive a security briefing and country information package upon arrival at the duty station. Information on in-country security conditions must be up-to-date and accurate. The senior security manager and/or headquarters security focal point will be available to assist in these aspects.

15. All projects, programmes and missions that include field level activity shall be screened by the country representative or his/her nominee to ensure adherence to United Nations security procedures and to verify that adequate provisions are made for the security of staff. This requires the inclusion in the field project document of a paragraph describing the threat assessment in the country.

IV. Country duty stations/field offices

16. The country representative is responsible to the executive head for the security, safety and welfare of persons employed by the organization and their eligible dependants. In addition, country representatives have a responsibility for the protection of all assets, property and information belonging to the organization or to the United Nations, where appropriate. All persons in the supervisory chain will be held accountable for this responsibility.

17. All supervisors and personnel must make themselves aware of the contents of the references listed above and must adhere to their direction and advice. Copies may be requested through the senior security manager and/or headquarters security focal point.

18. Country representatives are responsible for ensuring that personnel under their supervision and their eligible dependants adhere to United Nations security policy, rules and regulations together with any organizational instructions.

19. No supervisor should ever instruct or request, directly or indirectly, any staff member to disregard security policy, rules, regulations or instructions, and should never knowingly permit personnel to expose themselves to unnecessary risk. Any supervisor who

breaches this will be held accountable under the relevant staff rules and disciplinary procedures.

20. Personnel employed by the organizations of the United Nations system are also responsible for their own safety and security as well as that of others with whom they work. Such personnel must therefore exercise proper precautions and avoid taking unwarranted risks that may jeopardize either their own safety and security or that of other staff members, as well as the assets, property and information of the agency. Personnel who do not adhere to security policy, rules, regulations and directions will be accountable under relevant staff rules and disciplinary procedures.

21. In each country the Secretary-General will appoint a United Nations designated official who will be responsible and accountable for the overall security management arrangements at the duty station. The designated official will convene a security management team to advise on all security-related matters. The team will include country representatives of all United Nations organizations, plus others with technical expertise, as appropriate.

22. Country representatives will participate actively in the security management team; this responsibility may not be delegated except temporarily due to authorized absence. In such cases, it should be delegated to their deputies. Participation in the security management team requires that every member will undertake such training as offered by UNSECOORD. This responsibility will be reflected in the relevant job descriptions and terms of reference.

23. All country representatives, in their capacity as members of the security management team, will assist the designated official in developing Minimum Operating Security Standards (MOSS), which incorporate Minimum Telecommunications Standards (MITS), in their respective countries.

24. Each country representative will designate a country security focal point from amongst their senior staff. While the day-to-day tasks associated with safety and security may be delegated, it must be remembered that the responsibility and accountability are always retained by the country representative.

25. In this regard, therefore, executive heads, assisted by their appropriate senior staff, will ensure that budgetary planning and resource allocation make provision for security-related requirements in accordance with guidance provided by the senior security manager/headquarters security focal point. Normally this would include security personnel, both international and national (guard services), communications, training, personal protective equipment, office security systems and vehicle safety equipment. In this way, the requirements of the Minimum Operating Security Standards (MOSS) can be effectively developed implemented, maintained and sustained.

26. At each duty station, UNSECOORD will conduct from time to time, security training for country representatives as well as for all personnel employed by the organizations of the United Nations system. Single agencies with a security training capability will ensure that any training provided to their staff is consistent with and accredited by UNSECOORD. Senior security managers and/or headquarters security focal points will be responsible for holding records of attendance. These records will assist in taking decisions relating to personnel working in high-risk areas, particularly following phase three determinations of essential staff. It must be noted that attendance at security training is mandatory.

27. All personnel employed by organizations of the United Nations system and their eligible dependants who are travelling for official purposes to a duty station where a security phase is in effect require a security clearance from the designated official. All personnel must have a recorded written security clearance each time that they deploy outside the city area where they normally work. This shall be managed by the security focal point in each office and may, at some duty stations, also be a stipulation of the designated official. This authorization is required for safety and security planning, so that the whereabouts of personnel employed by organizations of the United Nations system and their eligible dependants are known at all times, and is also necessary to ensure validation of malicious acts insurance policies.

28. Country representatives are not authorized to open sub-offices, relocate personnel employed by the organization and their eligible dependants or conduct extended activity outside of the main offices without the concurrence of both the designated official and senior security manager and/or headquarters security focal point. Establishment of new offices, operations bases must conform to Minimum Operating Security Standards (MOSS).

29. Country representatives and their personnel must actively participate in security preparedness and contingency planning and familiarize themselves with the contents and procedures of security plans. These are formulated by the designated official and the security management team and are approved by UNSECOORD. One copy of the plan is forwarded to the senior security manager and/or headquarters security focal point for information, as appropriate. All staff shall be familiar with the plan and its contents and will be required to adhere to its provisions.